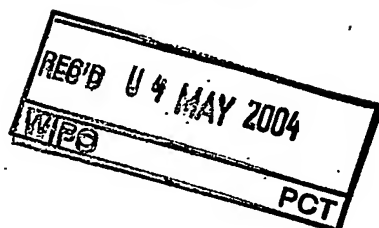




Rec'd PCT/PTO 13 APR 2005
PCT/IB04/480

10/531367

The Patent Office
Concept House
Cardiff Road
Newport
South Wales
NP10 8QQ



I, the undersigned, being an officer duly authorised in accordance with Section 74(1) and (4) of the Deregulation & Contracting Out Act 1994, to sign and issue certificates on behalf of the Comptroller-General, hereby certify that annexed hereto is a true copy of the documents as originally filed in connection with the patent application identified therein.

I also certify that the attached copy of the request for grant of a Patent (Form 1/77) bears an amendment, effected by this office, following a request by the applicant and agreed to by the Comptroller-General.

In accordance with the Patents (Companies Re-registration) Rules 1982, if a company named in this certificate and any accompanying documents has re-registered under the Companies Act 1980 with the same name as that with which it was registered immediately before re-registration save for the substitution as, or inclusion as, the last part of the name of the words "public limited company" or their equivalents in Welsh, references to the name of the company in this certificate and any accompanying documents shall be treated as references to the name with which it is so re-registered.

In accordance with the rules, the words "public limited company" may be replaced by p.l.c., plc, P.L.C. or PLC.

Re-registration under the Companies Act does not constitute a new legal entity but merely subjects the company to certain additional company law rules.

**PRIORITY
DOCUMENT**

SUBMITTED OR TRANSMITTED IN
COMPLIANCE WITH RULE 17.1(a) OR (b)

Signed 

Dated 28 April 2004

BEST AVAILABLE COPY

Patents Form 1/77

Patents Act 1977
(Rule 16)

THE PATENT OFFICE

20 OCT 2002

RECEIVED BY FAX



210CT02 E757008-1 C21729
P01/7700 0.00-0224300.4

The Patent Office

Cardiff Road
Newport
South Wales
NP10 8QQ

Request for grant of a patent

(See the notes on the back of this form. You can also get an explanatory leaflet from the Patent Office to help you fill in this form)

1. Your reference

SurfaceZ

2. Patent application number

(The Patent Office will fill in this part)

0224300.4

20 OCT 2002

3. Full name, address and postcode of the or of each applicant (underline all surnames)

Avto Tavkheldze, Borealis Technical Limited, Suite 3G, Eurolife Building, 1 Corral Road, Gibraltar

Leri Tsakadze, Borealis Technical Limited, Suite 3G, Eurolife Building, 1 Corral Road, Gibraltar

Patents ADP number (If you know it)

If the applicant is a corporate body, give the country/state of its incorporation

③ Borealis Technical Limited

Suite 3G, Eurolife Building, 1 Corral Road, GIBRALTAR

4. Title of the invention

Thermoelectric Material with Integrated de Broglie Wave Filter

5. Name of your agent (if you have one)

"Address for service" in the United Kingdom to which all correspondence should be sent (including the postcode)

44 Swing Gate Lane
BERKHAMSTED
Hertfordshire
HP4 2LL

Patents ADP number (If you know it)

6. If you are declaring priority from one or more earlier patent applications, give the country and the date of filing of the or of each of these earlier applications and (if you know it) the or each application number

Country

Priority application number
(if you know it)

Date of filing
(day / month / year)

7. If this application is divided or otherwise derived from an earlier UK application, give the number and the filing date of the earlier application

Number of earlier application

Date of filing
(day / month / year)

8. Is a statement of inventorship and of right to grant of a patent required in support of this request? (Answer 'Yes' if)

No

- a) any applicant named in part 3 is not an inventor, or
 - b) there is an inventor who is not named as an applicant, or
 - c) any named applicant is a corporate body.
- See note (d))

9. Enter the number of sheets for any of the following items you are filing with this form. Do not count copies of the same document

Continuation sheets of this form

Description 6
 Claim(s) 3
 Abstract 1
 Drawing(s) 4 only

10. If you are also filing any of the following, state how many against each item.

Priority documents

Translations of priority documents

Statement of inventorship and right to grant of a patent (Patents Form 7/77)

Request for preliminary examination and search (Patents Form 9/77)

Request for substantive examination (Patents Form 10/77)

Any other documents (please specify)

11. I/We request the grant of a patent on the basis of this application.

Signature *S Harbron* Date 20/10/02

12. Name and daytime telephone number of person to contact in the United Kingdom Dr Stuart Harbron - 01442 384084

Warning

After an application for a patent has been filed, the Comptroller of the Patent Office will consider whether publication or communication of the invention should be prohibited or restricted under Section 22 of the Patents Act 1977. You will be informed if it is necessary to prohibit or restrict your invention in this way. Furthermore, if you live in the United Kingdom, Section 23 of the Patents Act 1977 stops you from applying for a patent abroad without first getting written permission from the Patent Office unless an application has been filed at least 6 weeks beforehand in the United Kingdom for a patent for the same invention and either no direction prohibiting publication or communication has been given, or any such direction has been revoked.

Notes

- If you need help to fill in this form or you have any questions, please contact the Patent Office on 08459 500505.
- Write your answers in capital letters using black ink or you may type them.
- If there is not enough space for all the relevant details on any part of this form, please continue on a separate sheet of paper and write "see continuation sheet" in the relevant part(s). Any continuation sheet should be attached to this form.
- If you have answered 'Yes' Patents Form 7/77 will need to be filed.
- Once you have filled in the form you must remember to sign and date it.
- For details of the fee and ways to pay please contact the Patent Office.

Thermoelectric Material with Integrated de Broglie Wave Filter

Background of the Invention

Up to date thermoelectric generators and refrigerators have low efficiency. One of the main reasons for this low

5 efficiency is that all free electrons around and above the Fermi level take part in current transport through the thermoelectric material, but it is only high energy electrons that are efficiently used for cooling and energy generation.

Figure 1 shows a simple diagrammatic representation of a
10 thermoelectric couple known in the art in which a p-type material is connected to an n-type material via a conducting bridge, and electrons flow through the device, pumping heat from one side of the couple to the other. Other configurations and combinations of materials are also used. As
15 mentioned already, the low efficiency of such arrangements arises from the fact that all the free electrons around and above the Fermi level take part in current transport through the thermoelectric material and consequently external current source makes work which is not efficiently used for heat
20 transfer.

In US Patent US6281514 a method for promoting the passage of electrons through a potential barrier comprising providing a potential barrier having a geometrical shape for causing de Broglie interference is disclosed. This results in the
25 increase of tunneling through the potential barrier.

This approach does not contemplate using such a potential barrier for controlling or filtering which electrons contribute to current transport through the thermoelectric materials.

Figure 2 shows two domains are separated by a surface 36

having an indented or protruded shape, with height a .

An incident probability wave 30 is reflected from surface 36 to give reflected probability wave 32, and from the bottom of the indent to give reflected probability wave will equal to

zero for waves having wavelength $\lambda = 4a/(1+2n)$ where $n=0, 1, 2, \dots$

Further this means that the electron will not reflect back from the border, and will leak through the potential barrier with increased probability.

- 10 Indents or protrusions on the surface should have dimensions comparable to de Broglie wavelength of electron. In particular indent or protrusion height should be

$$a = \lambda(1+2n)/4$$

And the indent or protrusion width should be much greater than

15 λ .

In this invention we offer a method which blocks movement of low energy electrons through the thermoelectric material. We achieve this using filter which is more transparent for high energy electrons than for low energy ones. Tunnel barrier on the way of the electrons is used as filter. Filter works on the basis of the wave properties of the electrons. The geometry of the tunnel barrier is such that barrier becomes transparent for electrons having certain de Broglie wavelength. If the geometry of the barrier is such that its transparency wavelength matches the wavelength of high energy electrons it will be transparent for high energy electrons and will be blocking low energy ones by means of tunnel barrier.

Brief Summary of the Invention

In one aspect, the present invention comprises a method for filtering electrons, allowing the most energetic ones to

travel freely through a thermoelectric material whilst at the same time blocking low energy electrons and preventing them from taking part in current transport. This is achieved by creating a tunnel barrier or filter on the 'anode' surface of a thermoelectric material having a geometric pattern comprising indentations or protrusions. The dimensions of the indents or protrusions are such that electrons below a certain energy are reflected by the tunnel barrier or filter, whilst electrons above a certain energy are able to pass through the tunnel barrier or filter. Specifically, the depth of the indents or height of protrusions is $\lambda(1+2n)/4$, where λ is the de Broglie wavelength of an electron having the fore-mentioned certain energy.

In a second aspect, the present invention comprises a thermoelectric material having a tunnel barrier or filter on its 'anode' surface, in which the tunnel barrier or filter has a geometric pattern comprising indentations or protrusions. The dimensions of the indents or protrusions are such that electrons below a certain energy are reflected by the tunnel barrier or filter, whilst electrons above a certain energy are able to pass through the tunnel barrier or filter. Specifically, the dimensions of the indents or protrusions are $\lambda(1+2n)/4$, where λ is the de Broglie wavelength of an electron having the fore-mentioned certain energy.

In a further aspect, the present invention comprises a thermoelectric device comprising a first thermoelectric material and a second thermoelectric material, and having a tunnel barrier or filter interposed between the first material and the second material, in which the tunnel barrier or filter has a geometric pattern comprising indentations or protrusions. The dimensions of the indents or protrusions are

~~such that electrons below a certain energy are reflected by~~

the tunnel barrier or filter, whilst electrons above a certain energy are able to pass through the tunnel barrier or filter.

Specifically, the dimensions of the indents or protrusions are

5 $\lambda(1+2n)/4$, where λ is the de Broglie wavelength of an electron having the fore-mentioned certain energy.

In a yet further aspect, the present invention comprises a thermoelectric device comprising a first thermoelectric material, a second thermoelectric material, and one or more
10 tunnel barriers or filters, in which the tunnel barriers or filters have a geometric pattern comprising indentations or protrusions. The dimensions of the indents or protrusions are such that electrons below a certain energy are reflected by the tunnel barriers or filters, whilst electrons above a
15 certain energy are able to pass through the tunnel barriers or filters. Specifically, the dimensions of the indents or protrusions are $\lambda(1+2n)/4$, where λ is the de Broglie wavelength of an electron having the fore-mentioned certain energy.

20 **Brief Description of the Several Views of the Invention**

Figure 1 shows in diagrammatic form, a typical prior art thermoelectric device;

Figure 2 shows in diagrammatic form, an incident probability wave, two reflected probability waves and a transmitted

25 probability wave interacting with a surface having a series of indents (or protrusions);

Figure 3 shows in a diagrammatic form a tunnel barrier or filter of the present invention;

Figure 4 shoes in diagrammatic form several configurations for
30 thermoelectric devices of the present invention.

Detailed Description of the Invention

In the following, reference is made to indented and protruded cross-sections, geometries and surfaces. It is to be understood that for the purpose of the present invention that these terms are considered to be equivalent, and, for example, that the height of a protrusion is equivalent to the depth of an indent.

The present invention concerns the use of tunnel barriers or filters for controlling current transport in thermoelectric materials and devices. The tunnel barriers or filters have a stepped geometry comprising indents or protrusions in which the depth of the steps is such that high-energy electrons cannot reflect back from the step-like structure because of interference of de Broglie waves. Consequently high-energy electrons have to tunnel through the barrier. Low energy electrons have longer wavelengths and they can reflect back from the step-like structure. Thus the tunnel barrier partially stops low energy electrons and is more transparent for high-energy electrons because of wave nature of the electron. The effect of introducing an indented or protruded surface in this way is that the tunnel barrier stops low energy electrons and is transparent for high energy ones.

Referring now to Figure 3, which depicts one embodiment for a tunnel barrier of the present invention, two materials 40 and 42 are separated by the thin electrical insulator material 44. Materials 40 and 42 may be the same or different, and may be either semiconductors or metals. The interface 46 between materials 40 and 42 is indented/protruded as shown. The depth of the indentations at this interface are a , and the width is much more than λ , where λ is the de Broglie wavelength.

~~The value for a is chosen to set a threshold energy value~~

above which the barrier is transparent to electron flow, and below which electron flow is prevented.

Indents or protrusions of needed dimensions may be constructed

5 on a surface by a number of means.

In a preferred embodiment, an indented/protruded structure is formed on the surface of material 40. This may be achieved by a number of methods known to the art, including etching or ablation. In a second step, insulating material 44 is

10 deposited over the indented/protruded surface so formed or grown as insulating oxide of 40. In a third step, material 42 is attached to the indented/protruded surface so formed.

Again, this may be achieved by a number of methods known to the art, including deposition and electrochemical growth.

15 Thermoelectric devices comprising the barrier are also contemplated. Figure 4 shows several thermoelectric devices of the present invention having an n-type material 50, a p-type material 52, conductors 56 and an external circuit 58 and power source 59. A barrier or filter 54 is in electrical

20 contact with the 'anode' end of the p-type and n-type materials, and is also in electrical contact with a conductor.

Figure 4a shows a device having two barriers or filters,

Figure 4b shows a device having a barrier or filter attached

to the anode end of the n-type material, and Figure 4c shows a

25 device having a barrier or filter attached to the anode end of the p-type material.

Claims

1. A tunnel barrier for controlling the movement of an electron through a thermoelectric material comprising a potential barrier having an indented or protruded cross-section.
5
2. The tunnel barrier of claim 1 wherein the depth of indents in said indented cross-section or the height of protrusions in said protruded cross-section is chosen to set a threshold energy value above which the barrier is transparent to electron flow, and below which electron
10 flow is prevented
3. The tunnel barrier of claim 1 wherein the depth of indents in said indented cross-section or the height of protrusions in said protruded cross-section is given by the relationship $\lambda(1+2n)/4$, where λ is the de Broglie
15 wavelength of said electron, and where n is 0 or a positive integer.
4. The tunnel barrier of claim 3 in which n is an integer having a value between 0 and 4.
- 20 5. The tunnel barrier of claim 1 wherein the width of indents in said indented cross-section or the width of protrusions in said protruded cross-section the width is much more than λ , where λ is the de Broglie wavelength.
6. The tunnel barrier of claim 1 in which said potential
25 barrier comprises an electrical insulator.
7. A thermoelectric device comprising:
 - a) a first thermoelectric material;
 - b) a second thermoelectric material;
 - c) the tunnel barrier of claim 1.

~~8. The thermoelectric device of claim 7 wherein said first~~

thermoelectric material comprises an n-type material, said
second thermoelectric material comprises a p-type
material, and wherein a tunnel barrier of claim 1 is in
5 electrical contact with the anode of said n-type material
and the cathode of said p-type material.

9. The thermoelectric device of claim 7 wherein said first
thermoelectric material comprises an n-type material, said
second thermoelectric material comprises a p-type material
10 in electrical contact with said n-type material, and
wherein a tunnel barrier of claim 1 is in electrical
contact with the anode of said p-type material.

10. The thermoelectric device of claim 7 wherein said first
thermoelectric material comprises an n-type material, said
15 second thermoelectric material comprises a p-type
material, and wherein a tunnel barrier of claim 1 is in
electrical contact with the anode of said n-type material
and a further tunnel barrier of claim 1 is in electrical
contact with the anode of said p-type material.

20 11. A method for making the thermoelectric device of claim 7
comprising:

- (a) forming an indented or protruded structure on a
surface of a first thermoelectric material;
- (b) forming an insulating material over said indented or
25 protruded surface;
- (c) attaching a second thermoelectric material to said
insulating material.

12. The method of claim 11 in which said step of forming an
insulating material comprises depositing said insulating
30 material.

13. The method of claim 11 in which said step of forming an insulating material comprises oxidising said first material.

14. The method of claim 11 in which said step of forming an indented or protruded structure comprises etching.

15. The method of claim 11 in which said step of forming an indented or protruded structure comprises ablation.

Abstract

In this invention we offer a method which blocks movement of low energy electrons through the thermoelectric material. We achieve this using filter which is more transparent for high energy electrons than for low energy ones. Tunnel barrier on the way of the electrons is used as filter. Filter works on the basis of the wave properties of the electrons. The geometry of the tunnel barrier is such that barrier becomes transparent for electrons having certain de Broglie wavelength. If the geometry of the barrier is such that its transparency wavelength matches the wavelength of high energy electrons it will be transparent for high energy electrons and will be blocking low energy ones by means of tunnel barrier.

Figure 1

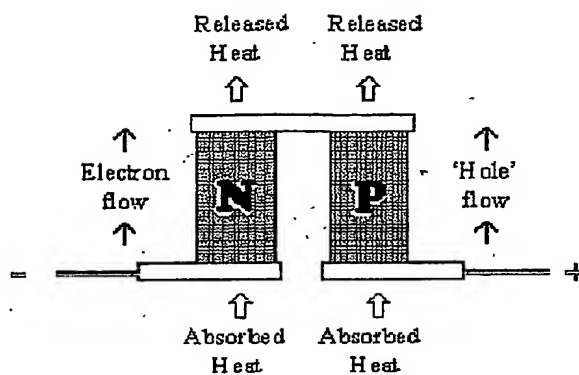


Figure 2

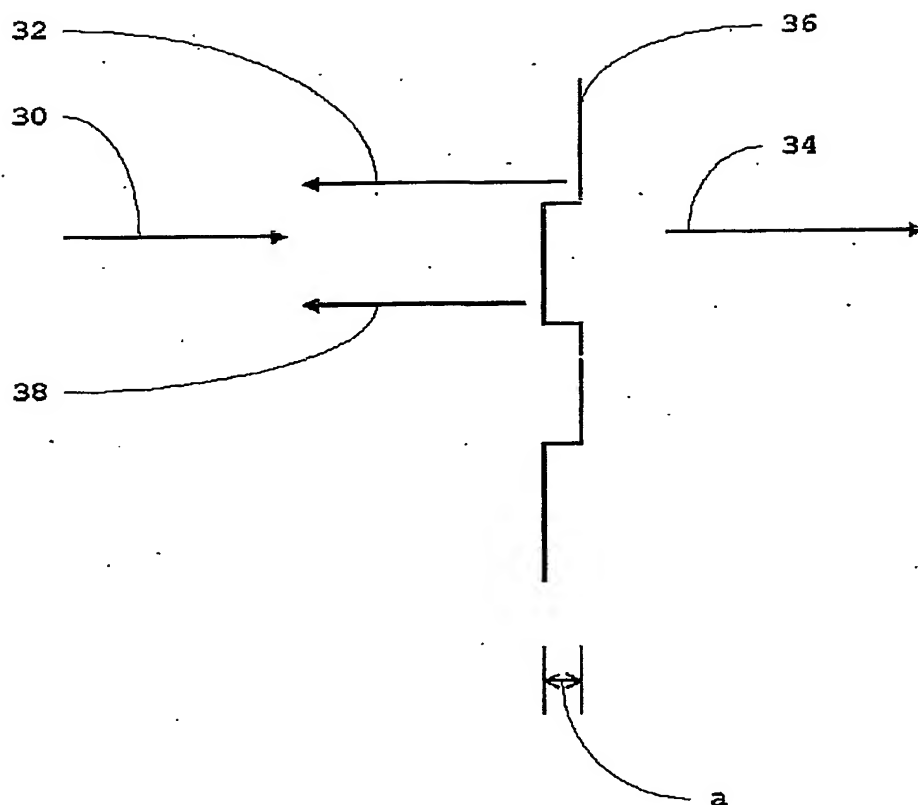


Figure 3

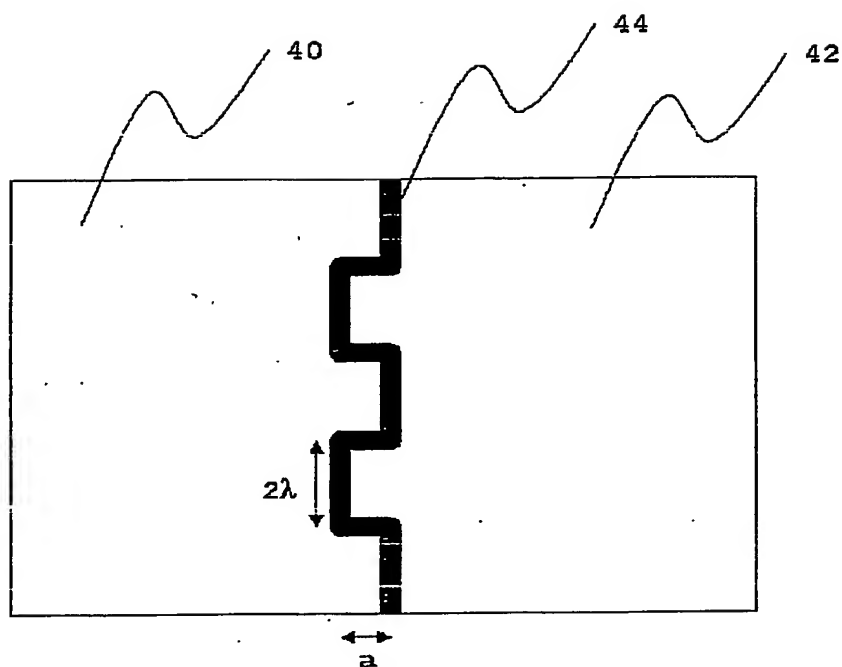


Figure 4a

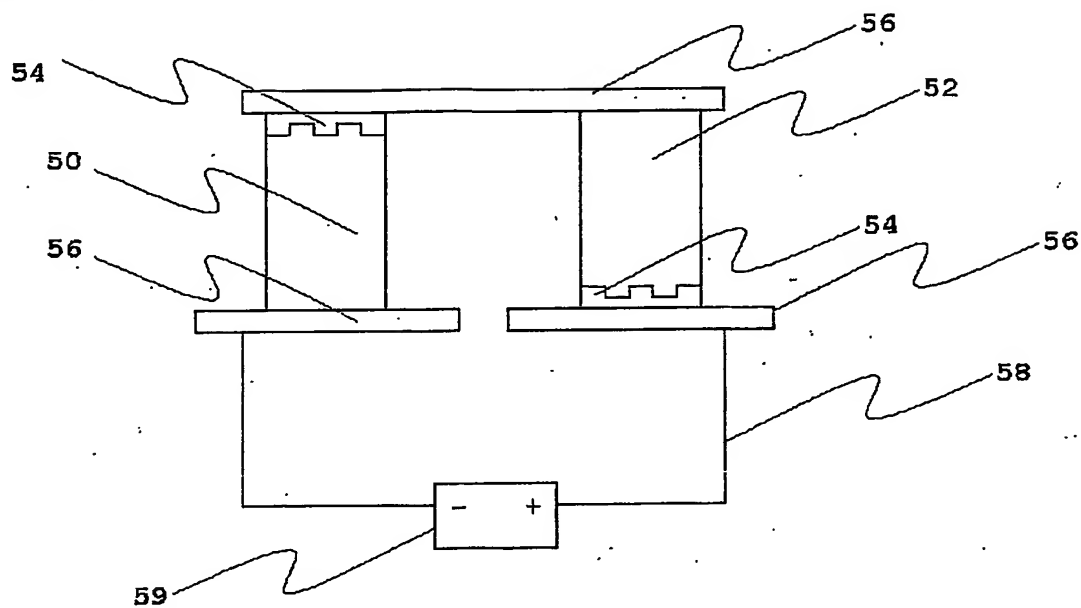


Figure 4b

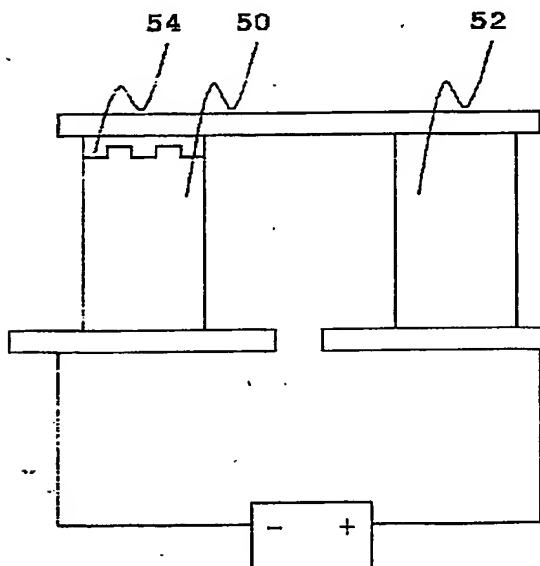
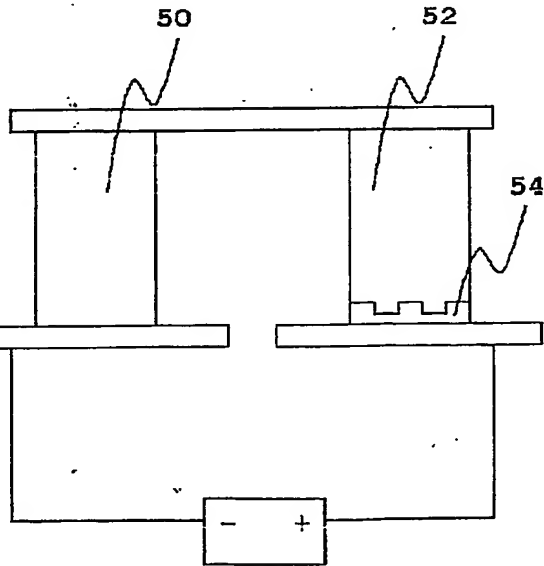


Figure 4c



**This Page is Inserted by IFW Indexing and Scanning
Operations and is not part of the Official Record**

BEST AVAILABLE IMAGES

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

- ☒ BLACK BORDERS
- ☐ IMAGE CUT OFF AT TOP, BOTTOM OR SIDES
- ☒ FADED TEXT OR DRAWING
- ☒ BLURRED OR ILLEGIBLE TEXT OR DRAWING
- ☐ SKEWED/SLANTED IMAGES
- ☐ COLOR OR BLACK AND WHITE PHOTOGRAPHS
- ☐ GRAY SCALE DOCUMENTS
- ☒ LINES OR MARKS ON ORIGINAL DOCUMENT
- ☐ REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY
- ☐ OTHER: _____

IMAGES ARE BEST AVAILABLE COPY.

As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.